

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): T. SHIMANO, et al

Serial No.: (not yet assigned)

Filed: April 20, 2004

For: OPTICAL HEAD

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 CFR 1.97 & 1.98**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

April 20, 2004

Sir:

In the matter of the above-identified application, this information disclosure statement is being submitted with the following citation as specified in 37 CFR 1.97(d).

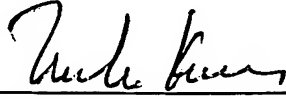
"A copy of any patent; publication or other information listed in an information disclosure statement is not required to be provided if it was previously cited by or submitted to the Office in a prior application, provided that the prior application is properly identified in the statement and relied upon for an earlier filing date under 35 U.S.C. 120."

Applicant(s) are submitting herewith a copy of Form PTO-1449 which list documents cited in parent application(s) Serial No. 10/131,225, filed April 25, 2002 and Serial No. 09/249,290, filed February 12, 1999, now U.S. Patent No. 6,400,664.

It is respectfully requested that this information disclosure statement be considered by the Examiner.

Please charge any shortage in the fees due in connection with the filing of this paper, including extension of time fees, to Deposit Account No. 01-2135 (500.36920CC2) and please credit any excess fees to such deposit account.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Melvin Kraus", written over a horizontal line.

Melvin Kraus

Registration No. 22,466

ANTONELLI, TERRY, STOUT & KRAUS, LLP

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Form PTO-1449 U.S. Department of Commerce  
Equivalent Patent and Trademark Office

Atty. Docket No. 520.36920CC2  
Serial No. (not yet assigned)  
Applicant: T. SHIMANO, et al  
Filing Date: April 20, 2004  
Group:  
Page 1 of 2

U.S. Patent Documents

Examiner Initials	Document No.	Date	Name	Class Subclass	Filing Date If Approp.
	4,742,218	1988	Nakamura et al		
	4,750,162	1988	Tajima		
	4,812,638	1989	Ogata et al		
	4,970,710	1990	Lee		
	5,005,163	1991	Yamamoto et al		
	5,084,849	1992	Ishii et al		
	5,408,452	1995	Sakemoto et al		
	5,440,536	1995	Ito et al		
	5,502,708	1996	Morimoto		
	5,579,298	1996	Opheiiji et al		
	5,610,883	1997	Yanagawa		
	5,629,911	1997	Sasaki		
	5,719,839	1998	Naito		
	5,815,473	1998	Takahashi et al		
	5,859,819	1999	Miyabe et al		
	5,886,964	1999	Fujita		
	5,930,220	1999	Shimano et al		
	6,027,594	2000	Nishiuchi et al		
	6,084,835	2000	Buchler et al		
	6,104,689	2000	Noguchi		
	6,125,087	2000	Ohnishi et al		

Foreign Patent Documents

Document No.	Date	Country	Class Subclass	Translation Yes No
4-168631	1992	Japan		
5-68774	1993	Japan		
5-197980	1993	Japan		
6-68496	1994	Japan		
6-162527	1994	Japan		
6-309687	1994	Japan		
7-225963	1995	Japan		
8-279166	1996	Japan		
9-16972	1997	Japan		
0 762 396 A1	1997	European		

Form PTO-1449 U.S. Department of Commerce  
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Page 2 of 2

Other Documents (including Author, Title, Date, Pertinent Pages, etc.)

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Journal of Optical Society of America, 1979, Vol. 69, No. 1, pp. 4-24

Technical Digest of Symposium on Optical Memory '86, 1986, pp.127-132

National Technical Report, Vol. 40, No. 6, 1994, pp. 771-778

Fundamentals and Applications of Optical Disk Storage, Y. Tsunoda, 1995, 1st  
Edition, Korona Corp., Tokyo, pp. 78-92

Examiner

Date Considered

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\*Examiner: Initial if reference considered, whether or not citation is in  
conformance with MPEP 609; Draw line through citation if not in conformance and  
not considered. Include copy of this form with next communication to applicant.

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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

April 20, 2004

Sir:

In the matter of the above-identified application, applicant(s) is/are submitting herewith a copy the documents listed in the attached form equivalent to Form PTO-1449 for the Examiner's consideration.

This information disclosure statement is being submitted with the continuing application accompanied herewith.

To the extent that, the documents listed on the attached form equivalent to Form PTO-1449, are not in the English language, the requirement of 37 CFR 1.98(a)(3) for a concise explanation of the relevance is satisfied by an English language translation of the document.

It is respectfully requested that this information disclosure statement be considered by the Examiner.

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Respectfully submitted,

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Melvin Kraus

Registration No. 22,466

ANTONELLI, TERRY, STOUT & KRAUS, LLP

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Form PTO-1449  
Equivalent

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Patent and Trademark Office

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Group:

U.S. Patent Documents

Examiner Initials	Document No.	Date	Name	Class Subclass	Filing Date If Approp.
	5,828,634	1998	Ohno et al (corresponds to JP 10-3672)		

Foreign Patent Documents

Document No.	Date	Country	Class Subclass	Translation Yes No
2-96618	1990	Japan		X
10-3672	1998	Japan (corresponds to USP 5,828,634)		

Other Documents (including Author, Title, Date, Pertinent Pages, etc.)

Translation of JP A 8-279166  
Translation of JP A 6-68496

Examiner

Date Considered

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609;  
Draw line through citation if not in conformance and not considered. Include copy of this form with next  
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